

01-20-04

1754

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

BRODERICK et al.

Serial No.: 09/997,932

Filed: November 28, 2001

Atty. File No.: 2060-78

For: "METHOD FOR FIXATING SLUDGES AND SOILS CONTAMINATED WITH MERCURY AND OTHER HEAVY METALS

) Group Art Unit: 1754

) Examiner: KUHAR, ANTHONY J.

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Form with fields for mailing label number, date of deposit, and signature of Sherry J. Russom.

MAIL STOP DD

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Dear Sir:

The references cited on attached Form PTO-1449 are being called to the attention of the Examiner.

Copies of the cited references are enclosed herewith.

Copies of the cited references are not enclosed in accordance with the waiver dated July 11, 2003, whereby patent applications filed after June 30, 2003 and international applications that have entered the national stage under 35 U.S.C. § 371 after June 30, 2003 need not submit copies of U.S. patents and U.S. patent application publications.

Are not enclosed, in accordance with 37 C.F.R. 1.98(d), because the references were submitted to the U.S. Patent and Trademark Office in prior application Serial No. filed, which is relied upon for an earlier filing date under 35 U.S.C. § 120

To the best of applicants' belief, the pertinence of the foreign-language references are believed to be summarized in the attached English abstracts, although applicants do not necessarily vouch for the accuracy of the translation.

Examiner's attention is drawn to the following co-pending applications, copies of which have been or are being submitted:

- List of serial numbers and filing dates: 10/681,671, 10/253,944, 10/134,178, 09/794,577, 10/600,117.

Vertical text on the right margin: 01/21/2004 SSANDRA 00000004 0997932 180.00 DP 01 FC:1806

☒ Other: International Preliminary Examination Report for PCT/US01/04144

Submission of the above information is not intended as an admission that any item is citable under the statutes or rules to support a rejection, that any item disclosed represents analogous art, or that those skilled in the art would refer to or recognize the pertinence of any reference without the benefit of hindsight, nor should an inference be drawn as to the pertinence of the references based on the order in which they are presented. Submission of this statement should not be taken as an indication that a search has been conducted, or that no better art exists.

It is respectfully requested that the cited information be expressly considered during the prosecution of this application and the references made of record therein.

#### FEES

<input type="checkbox"/>	<p><b>37 CFR 1.97(b):</b> No fee is believed due in connection with this submission, because the information disclosure statement submitted herewith is satisfies one of the following conditions ("X" indicates satisfaction):</p> <ul style="list-style-type: none"><li><input type="checkbox"/> Within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d), or</li><li><input type="checkbox"/> Within three months of the date of entry into the national stage of an international application as set forth in 37 CFR 1.491 or</li><li><input type="checkbox"/> Before the mailing date of a first Office Action on the merits, or</li><li><input type="checkbox"/> Before the mailing of a first Office action after the filing of a Request for Continued Examination (RCE) under 37 CFR 1.114.</li></ul> <p>Although no fee is believed due, if any fee is deemed due in connection with this submission, please charge such fee to Deposit Account 19-1970.</p>
<input checked="" type="checkbox"/>	<p><b>37 CFR 1.97(c):</b> The information disclosure statement transmitted herewith is being filed after all the above conditions (37 CFR 1.97(b)), but before the mailing date of one of the following conditions:</p> <ul style="list-style-type: none"><li>(1) a final action under 37 C.F.R. 1.113 or</li><li>(2) a notice of allowance under 37 C.F.R. 1.311, or</li><li>(3) an action that otherwise closes prosecution in the application.</li></ul> <p>This Information Disclosure Statement is accompanied by:</p> <ul style="list-style-type: none"><li><input type="checkbox"/> A Certification (below) as specified by 37 C.F.R. 1.97(e). Although no fee is believed due, if any fee is deemed due in connection with this submission, please charge such fee to Deposit Account 19-1970.</li></ul> <p style="text-align: center;">OR</p> <ul style="list-style-type: none"><li><input checked="" type="checkbox"/> A check in the amount of \$180.00 for the fee set forth in 37 C.F.R. 1.17(p) for submission of an information disclosure statement. Please credit any overpayment or charge any underpayment to Deposit Account No. 19-1970.</li></ul>



37 CFR 1.97(d): This Information Disclosure Statement is being submitted after the period specified in 37 CFR 1.97(c).

☐ This information Disclosure Statement includes a Certification (below) as specified by 37 C.F.R. 1.97(e)

AND

☐ Applicants hereby requests consideration of the reference(s) disclosed herein. Enclosed is the fee in the amount of \$180.00 under 37 C.F.R. 1.17(p). Please credit any overpayment or charge any underpayment to Deposit Account No. 19-1970. Please credit any overpayment or charge any underpayment to Deposit Account No. 19-1970. Election to pay the fee should not be taken as an indication that applicant(s) cannot execute a certification.

**Certification (37 C.F.R. 1.97(e))**  
(Applicable only if checked)

☐ The undersigned certifies that:

☐ Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. 37 C.F.R. 1.97(e)(1).

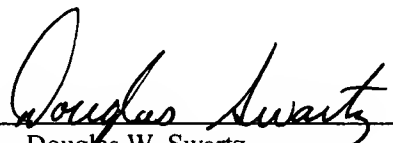
☐ A copy of the communication from the foreign patent office is enclosed.

OR

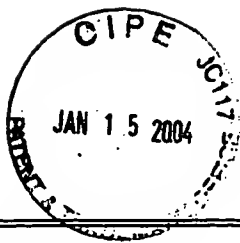
☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. 1.56(c) more than more than three months prior to the filing of this statement. 37 C.F.R. 1.97(e)(2).

Respectfully submitted,

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Date: Jan. 15, 2004  
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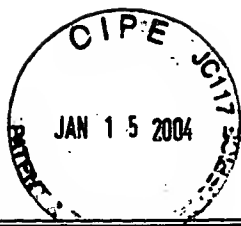


FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	ATTY. DOCKET NO. 2060-78	SERIAL NO. 09/997,932
	APPLICANT BRODERICK et al.	
	FILING DATE November 28, 2001	GROUP ART 1754

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROP.
	A P	1,697,095	1/01/29	Turner			
	A P	2,145,901	2/07/39	Shoemaker	210	23	
	A N	2,367,496	1/16/45	Greentree	252	299	
	A N	3,194,629	7/13/65	Dreibelbis et al.	23	2	
	A P	3,201,149	8/17/65	Bragg	285	38	
	A P	3,499,837	3/10/70	Jaunarajs	210	59	
	A G	3,516,947	6/23/70	Dudzik	252	439	
	A N	3,576,947		Kruger	178	69.5	1/16/69
	A I	3,755,161	8/28/73	Yokota et al	210	38	
	A J	3,864,327	2/04/75	Marchant	252	231A	
	A K	3,873,581	3/25/75	Fitzpatrick et al.	252	370	
	A N	3,876,451	4/08/75	Zall	117	62	
	A M	3,890,225	6/17/75	Kajiyama	210	38	
	A N	3,935,098	1/27/76	Oda, et al	210	38	
	A N	3,947,354	3/30/76	Swanson et al.	210	59	
	A P	3,948,863	4/06/76	Akamatsu et al.	252	78A	
	A G	3,969,244	7/13/76	Kobayashi et al.	210	38B	
	A R	3,984,606	10/05/76	Morgan	428	419	
	A S	3,994,719	11/30/76	Corte et al.	75	101BE	
	A T	3,999,825	12/28/76	Cannon	339	15	
	A U	4,008,937	2/22/77	Filippi	339	15	

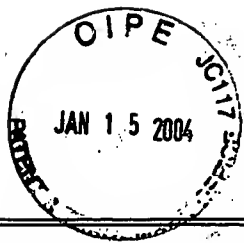
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	A V	4,051,316	9/27/77	Wing et al.	536	107	
	A W	4,069,140	1/17/78	Wunderlich	208	251H	
	A X	4,072,605	2/7/78	Thelander	210	50	5/25/76
	A Y	4,083,783	4/11/78	Wing et al.	210	54	
	A Z	4,087,359	5/02/78	Patron, et al.	210	50	
	B A	4,108,769	8/22/78	Krieg et al.	210	50	3/22/77
	B B	4,118,243	10/03/78	Sandersara	106	109	
	B C	4,133,755	1/09/79	Tarao, et al.	210	38B	
	B D	4,151,077	4/24/79	Nogueira, et al.	210	21	
	B E	4,153,556	5/08/79	Riedinger	210	218	
	B F	4,196,173	4/01/80	deJong et al.	423	210	
	B G	4,233,274	11/11/80	Allgulin	423	210	
	B H	4,238,329	12/09/80	Zievers	210	36	
	B I	4,245,989	1/20/81	Folkenroth et al.	433	92	7/9/79
	B J	4,249,786	2/10/81	Mahoff	339	15	
	B K	4,256,227	3/17/81	Petrovich	209	166	
	B L	4,273,747	6/16/81	Rasmussen	423	210	
	B M	4,285,564	8/25/81	Spinner	339	89C	
	B N	4,340,623	7/20/82	Justus	427	361	
	B O	4,363,749	12/14/82	Weiss et al.	252	455R	
	B P	4,385,891	5/31/83	Ligotti	433	92	
	B Q	4,459,370	7/10/84	van der Wal et al.	502	338	
	B R	4,500,327	2/19/85	Nishino et al.	55	72	
	B S	4,564,374	1/14/86	Hofmann	55	57	
	B T	4,591,437	5/27/86	Ernryd et al.	210	265	6/1/83

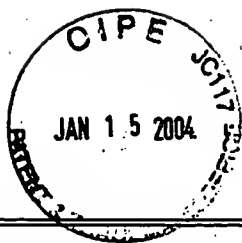
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	APPLICANT BRODERICK et al.	
	FILING DATE November 28, 2001	GROUP ART 1754

	B U	4,654,322	3/31/87	Holbein, et al.	502	403	
	B V	4,670,160	6/02/87	Moriya, et al.	210	728	
	B W	4,721,582	1/26/88	Nelson	252	189	
	B X	4,752,398	6/21/88	Holbein, et al.	210	679	
	B Y	4,753,632	6/28/88	Hofmann et al.	494	43	11/25/86
	B Z	4,764,355	8/16/88	Romey et al.	423	244	
	C A	4,771,030	9/13/88	Audeh	502	414	
	C B	4,786,483	11/22/88	Audeh	423	210	
	C C	4,786,484	11/22/88	Nelson	423	239	
	C D	4,814,152	3/21/89	Yan	423	210	
	C E	4,834,953	5/30/89	Audeh	423	210	
	C F	4,843,102	6/27/89	Horton	521	28	
	C G	4,877,515	10/31/89	Audeh	208	251R	
	C H	4,902,662	2/20/90	Toulboat et al.	502	216	
	C I	4,909,944	3/20/90	Jackson et al.	210	674	
	C J	4,911,825	3/27/90	Roussel et al.	208	251R	
	C K	4,917,862	4/18/90	Kraw et al.	423	4	
	C L	4,919,826	4/24/90	Alzner	210	788	
	C M	4,933,158	6/12/90	Aritsuka et al.	423	210	
	C N	4,950,408	8/21/90	Duisters et al.	210	660	
	C O	4,969,995	11/13/90	Jackson et al.	210	263	
	C P	4,985,389	1/15/91	Audeh	502	516	

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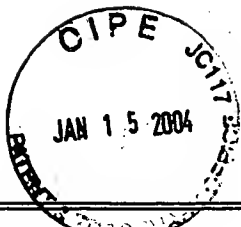
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BRODERICK et al.FILING DATE  
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1754

	C Q	5,017,135	5/21/91	Meyer	433	92	
	C R	5,064,626	11/12/91	Johnson et al.	423	245.1	
	C S	5,085,844	2/04/92	Nowack et al.	423	245.1	
	C T	5,114,578	5/19/92	Sundström	210	256	2/12/91
	C U	5,120,515	5/09/92	Audeh et al.	423	210	
	C V	5,154,833	10/13/92	Robinson	210	664	
	C W	5,209,773	5/11/93	Audhe et al.	75	388	
	C X	5,227,053	7/13/93	Brym	210	143	11/30/90
	C Y	5,238,488	8/24/93	Wilhelm	75	742	
	C Z	5,245,106	9/14/93	Cameron et al.	585	823	
	D A	5,248,488	9/28/93	Yan	423	210	
	D B	5,304,693	4/19/94	Boitiaux et al.	585	648	
	D C	5,330,658	7/19/94	Grant et al.	210	717	3/17/93
	D D	5,338,444	8/16/94	van Buren, et al.	210	660	
	D E	5,357,002	10/18/94	Lezzi et al.	525	332.2	
	D F	5,369,072	11/29/94	Benjamin et al.	502	84	
	D G	5,370,827	12/6/94	Grant et al.	588	18	4/2/93
	D H	5,421,994	6/06/95	Sarrazin et al.	208	251R	
	D I	5,437,797	8/01/95	Helmig	210	669	
	D J	5,460,643	10/24/95	Hasenpusch et al.	95	134	
	D K	5,569,436	10/29/96	Lerner	422	170	

EXAMINER

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	D L	5,577,910	11/26/96	Holland	433	92	5/27/94
	D M	5,599,515	2/04/97	Misra et al.	423	101	
	D N	5,607,496	3/04/97	Brooks	75	670	
	D O	5,613,851	3/25/97	Trawöger et al.	433	92	
	D P	5,658,487	8/19/97	Carey et al.	252	180	
	D Q	5,667,695	9/16/97	Bedard et al.	210	681	5/20/96
	D R	5,670,122	9/23/77	Zamansky et al.	423	210	
	D S	5,679,259	10/21/97	Bolser	210	719	
	D T	5,695,726	12/09/97	Lerner	423	210	
	D U	5,741,397	4/21/98	Kraver	159	25.2	
	D V	5,753,125	5/19/98	Kreisler	210	710	
	D W	5,795,159	8/18/98	Ralls et al.	433	92	2/2/96
	D X	5,797,742	8/25/98	Fraker	433	92	2/29/96
	D Y	5,846,434	12/08/98	Seaman et al.	210	724	
	D Z	5,880,060	3/9/99	Blake et al.	502	411	8/28/96
	E A	5,885,076	3/23/99	Ralls et al.	433	92	12/1/95
	E B	5,900,042	5/04/99	Mendelsohn et al.	75	742	
	E C	5,907,037	5/25/99	Gujral et al.	536	59	
	E D	5,908,559	6/01/99	Kreisler	210	710	
	E E	6,022,216	2/08/00	Cattani	433	92	
	E F	6,024,239	2/15/00	Turner et al	220	269	

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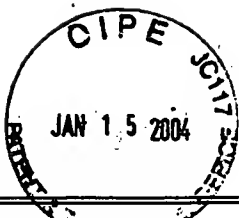
	E G	6,083,306	7/04/00	Cattani	96	157	
	E H	6,083,473	7/04/00	Esquivel et al.	423	576.8	
	E I	6,103,205	8/15/00	Wojtowicz et al.	423	210	
	E J	6,132,623	10/17/00	Nikolaidis et al.	210	719	
	E K	6,139,751	10/31/00	Bogaert et al.	210	679	
	E L	6,165,366	12/26/00	Sarangapani	210	666	
	E M	6,270,679	8/07/01	Kreisler	210	710	
	E N	6,274,045 B1	8/14/01	Kreisler	210	710	
	E O	6,322,613 B1	11/27/01	Wojtowicz et al.	95	107	
	E P	6,372,187 B1	4/16/02	Madden et al.	422	171	
	E Q	6,375,909	4/23/02	Dangtran et al.	423	235	
	E R	6,387,276 B1	5/14/02	Nikolaidis et al.	210	719	
	E S	6,524,371 B2	2/25/03	El-Shoubary et al.	95	134	
	E T	6,533,842 B1	3/18/03	Maes et al.	95	134	
	E U	6,558,642 B2	5/06/03	El-Shoubary et al.	423	245-3	
	E V	10/134,178		Lovell			4/26/02
	E W	09/794,577		Albiston et al			2/27/01
	E X	10/253,944		Broderick			9/23/02
	E Y	10/600,117		Lovell et al.			6/20/03
	E Z	10/681,671		Lovell			10/07/03

## FOREIGN PATENT DOCUMENTS

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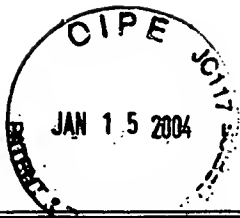
FORM PTO-4446 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	ATTY. DOCKET NO. 2060-78	SERIAL NO. 09/997,932
	APPLICANT BRODERICK et al.	
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		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
	F A	DE 3813 264 A1	11/10/88	Germany			X	
	F B	WO 02/096559 A1	5/31/01	PCT			X	

## OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

	F C	January 20, 2003 print-out of E-watertechnologies' website at <a href="http://www.e-watertechnologies.com">http://www.e-watertechnologies.com</a> regarding Whole House Anion Water Conditioner, 2 pages.
	F D	January 20, 2003 print-out of E-watertechnologies' website at <a href="http://www.e-watertechnologies.com">http://www.e-watertechnologies.com</a> regarding Whole House Reverse Osmosis System, 4 pages.
	F E	January 20, 2003 print-out of Wholly Water® website at <a href="http://www.wholly-water.com">http://www.wholly-water.com</a> regarding The Ultimate Drinking Water Purification System, 9 pages.
	F F	January 20, 2003 print-out of Prostar Mechanical Technologies Ltd. website at <a href="http://www.prostar-mechanical.com">http://www.prostar-mechanical.com</a> regarding Water Purification Systems and Equipment, 4 pages.
	F F	January 20, 2003 print-out of A1 Ultra Pure Drinking Water's website at <a href="http://www.a1ultrapure.com/drink.html">http://www.a1ultrapure.com/drink.html</a> regarding Drinking Water Systems, 8 pages.
	F H	January 21, 2003 print-out of Apyron Technologies' website at <a href="http://www.apyron.com/home.html">http://www.apyron.com/home.html</a> beginning with home page and including The Complete Arsenic Treatment Solution, 15 pages.
	F I	January 20, 2003 print-out of USFilter website at <a href="http://www.usfilter.com/water">http://www.usfilter.com/water</a> regarding GFH™ Granular Ferric Hydroxide Media, 2 pages.
	F J	January 20, 2003 print-out of Severn Trent Services at <a href="http://www.severntrentservices.com">http://www.severntrentservices.com</a> regarding SORB33, 2 pages.
	F K	January 20, 2003 print-out of ADI website at <a href="http://www.adi.ca">http://www.adi.ca</a> regarding Arsenic Removal, 1 page.

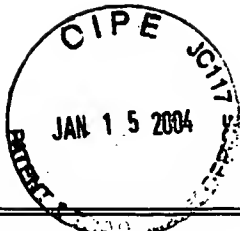
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FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	ATTY. DOCKET NO. 2060-78	SERIAL NO. 09/997,932
	APPLICANT BRODERICK et al.	
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FL	January 20, 2003 print-out of TRAMFLOC, INC. website at <a href="http://www.tramfloc.com">http://www.tramfloc.com</a> regarding Application of ActiGuard AAFS50 to Arsenic Removal, 3 pages.
FM	January 20, 2003 print-out of Waste Technolgoies of Australia Pty. Ltd. (Arsenic Solutions Information Page, Solutions and Resources) at <a href="http://www.arsenic-solutions.com">http://www.arsenic-solutions.com</a> regarding Simple Arsenic Removal Process (site under reconstruction), 2 pages.
FN	January 20, 2003 print-out of WRT website at <a href="http://wrt.net">http://wrt.net</a> regarding The Z-33™ Arsenic Removal Process, 1 page.
FO	Agion Antimicrobial, Agion Technologies L.L.C., The Most Advanced Antimicrobial Silver Delivery System, An Introduction, 10 page.
FP	Bayer Corporation, Plastics Division, "Wheel Covers, Center Caps Become Revolving Art Forms With New Film Insert Molding Technology," 4 pages.
FQ	Brown, et al; "Mercury Measurement and Its Control: What We Know, Have Leamed, and Need to Further Investigate;" J. Air & Water Manage. Assoc., pp. 1-97; June 1999
FR	Gash, et al; "Efficient Recovery of Elemental Mercury from Hg(II)-Contaminated Aqueous Media Using a Redox-Recyclable Ion-Exchange Material;" Environ. Sci. Technol. 1988, 32, 1007-1012
FS	Dorhout and Strauss; "The Design, Synthesis, and Characterization of Redox-Recyclable Materials for Efficient Extraction of Heavy Element Ions form Aqueous Waste Streams;" 1999 American Chemical Society, pp. 53-68.
FT	Rose, Arthur W., Hawkes, Herbert E., Webb, John S., "Geochemistry in Mineral Exploration," Second Edition, 1979, 3 pgs.
FU	Maximum Separation Systems brochure, 7 pgs.
FV	Maximum Product Information brochure, printed April 14, 2000 from website <a href="http://www.amalgamseparators.com">http://www.amalgamseparators.com</a> , 3 pgs.
FW	April 14, 2000 printout of ISOSEP® found at website <a href="http://www.drs.nl">http://www.drs.nl</a> , 2 pgs.
FX	Maximum Separation Systems, Inc. Model 2000 Type 4 Amalgam Separator brochure, 1 pg.

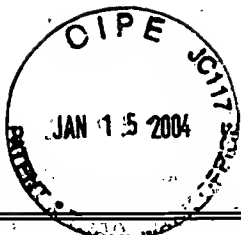
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F Y	Metasys brochure, 2 pgs.
G A	ADA Technologies, Inc. Final Progress Report Entitled "CLEANUP OF DENTAL AMALGAM WASTE TO MEET SEWER DISCHARGE REGULATIONS;" Grant No. 1 R43 ES07886-01, April 28, 1997, 43 PGS.
G B	Bindsley; "DENTAL OFFICE WASTE STREAM CHARACTERIZATION STUDY;" Municipality of Metropolitan Seattle, Royal Dental College, Adv. Dent. Res. 6:125-130, Sept. 1991, 60 pgs.
G C	Bill Johnson; Technical Memorandum on "MERCURY SOURCE IDENTIFICATION UPDATE: DENTAL OFFICES AND HUMAN WASTE;" EIP Associates; March 2, 1999, 25 pgs.
G D	"Scientific Review of Issues Impacting Dentistry;" Naval Dental Research Institute; Vol. 2, No. 1, January 2000, 5 pgs.
G E	Pederson et al.; "The Removal of Mercury from Dental-Operatory Wastewater by Polymer Treatment;" Naval Dental Research Institute, Environmental Health Perspectives Vol. 107, No. January 1, 1999, 6 pgs.
G F	Kümmerer et al.; "Mercury Emissions from Dental Chairs by Disinfection;" Institute of Environmental Medicine and Hospital Epidemiology, University Hospital Freiburg, <i>Chemosphere</i> , Vol. 35, No. 4, pps. 827-833, 1997.
G G	Fan et al.; "Environmental issues in dentistry - mercury*;" International Dental Journal (1997)47, 105-109. *Project Initiated and report approved by FDI Commission.
G H	"Best Management Practices for Dental Waste;" City of Boulder Public Works/Utilities; 9 pgs.
G I	Batchu et al., "Comparison of Particle Size Distributions of Dental Wastewater Under Various Clinical Procedures;" Naval Dental Research Institute Great Lakes, Illinois, 19 pgs.
G J	Cailas et al., "Physico-chemical Properties of Dental Wastewater;" Water Environmental Federation, Chicago, Illinois, October 1994, 11 pgs.
G K	Arenholt-Bindsley and Larsen; "Mercury Levels and Discharge in Waste Water from Dental Clinics;" Waste, Air and Soil Pollution; 86:93-99, January 1996, 8 pgs.
G L	Letzel et al.; "An Estimation of the Size Distribution of Amalgam Particles in Dental Treatment Waste;" J. Dent. Res. 76(3): 780-788; March 1997.

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GM	Listing of Abstracts from Int'l Conference "Arsenic in Bangladesh Ground Water: World's Greatest Arsenic Calamity," February 22-28, 1999, 22 pgs.
GN	EPA "Arsenic in Drinking Water: Treatment Technologies for Arsenic Decision Tree, Variances and Exemptions," June 2-3, 1999, 9 pages.
GO	Drieaus, et al., "Granular ferric hydroxide - a new absorbent for the removal of arsenic from natural water," J. Water SRT - Aqua 47, 1998, abstract and pages 59-68.
GP	Murcott, Susan, Appropriate Remediation Technologies for Arsenic-Contaminated Wells," Massachusetts Institute of Technology, "Arsenic in Bangladesh Ground Water" Wagner College, Staten Island, New York, February 27-28, 1999, 13 pgs.
GQ	ADA Technologies, Inc., "Turnkey Arsenic Removal for Small Water Systems," Topic #AF03-265, Proposal #F031-0720, 3 pgs.

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